



Docket No.: 42390P11931

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

MICHAEL A. KOZUCH, ET AL.

Application No.: 10/043,843

Filed: November 1, 2001

For: Method And Apparatus For Mechanism For  
Loading A Trustable Operating System In A  
Potentially Uncooperative Multiprocessing  
Environment

Art Group: 2132

Examiner: Gilberto Barron

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

**RECEIVED**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

JUL 19 2004

Technology Center 2100

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

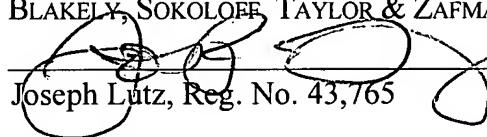
It is hereby stated that no item of information contained in the Information Disclosure Statement was cited in a patent office in a counterpart application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual associated with the filing or prosecution of the subject application more than three months prior to the filing of the Information Disclosure Statement.

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Applicant has concurrently submitted an electronic Information Disclosure Statement (IDS) for the above-referenced patent application. In the concurrently filed electronic IDS submission, it was requested that any requisite fees be debited from Deposit Account 02-2666. Applicant respectfully requests that only one fee be debited for these concurrently filed IDS submissions if such fees are required.

Respectfully submitted,

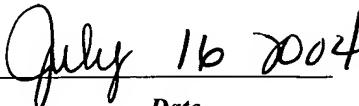
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

  
Joseph Lutz, Reg. No. 43,765

Date: July 16 2004  
12400 Wilshire Boulevard, 7th Floor  
Los Angeles, CA 90025  
Telephone: (310) 207-3800

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

  
Marilyn Bass

  
July 16 2004  
Date



Substitute for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (Use as many sheets as necessary)		Complete if Known				
		Application Number	10/043,843			
		Filing Date	November 1, 2001			
		First Named Inventor	Kozuch, Michael			
		Group Art Unit	2132			
		Examiner Name	Barron, Gilberto			
Sheet 1 of 2		RECEIVED JUL 19 2004				
		Attorney Docket No: 42P11931				

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### US PATENT DOCUMENTS

Examiner Initial *	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	Filing Date If Appropriate
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### FOREIGN PATENT DOCUMENTS

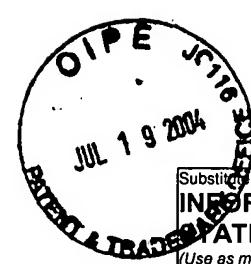
Examiner Initials*	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	T <sup>2</sup>
	EP-EP0892521	01/20/1999	Zamek, Steven			
	EP-EP1055989	11/29/2000	Proudler, Graeme J., et al.			
	EP-EP1056014	11/29/2000	Proudler, Graeme J., et al.			
	WO-WO0201794	01/03/2002	Ellison, Carl			
	WO-WO02060121	08/01/2002	Grawrock, David W.			
	WO-WO03058412	07/17/2003	Glew, Andrew , et al.			
	WO-WO9812620	03/26/1998	Nishiuchi, Taiki , et al.			
	WO-WO9918511	04/15/1999	Edrich, David R.			
	WO-WO9965579	12/23/1999	Bond, Eugene T.			

### OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		COULOURIS, GEORGE , et al., "Distributed Systems, Concepts and Designs", <u>2nd Edition, (1994)</u> ,422-424	
		CRAWFORD, JOHN , "Architecture of the Intel 80386", <u>Proceedings of the IEEE International Conference on Computer Design: VLSI in Computers and Processors (ICCD '86)</u> , (October 6, 1986),155-160	
		FABRY, R.S. , "Capability-Based Addressing", <u>Fabry, R.S., "Capability-Based Addressing," Communications of the ACM, Vol. 17, No. 7, (July 1974)</u> ,403-412	
		FRIEDER, GIDEON , "The Architecture And Operational Characteristics of the VMX Host Machine", <u>The Architecture And Operational Characteristics of the VMX Host Machine, IEEE, (1982)</u> ,9-16	
		HP MOBILE SECURITY OVERVIEW, "HP Mobile Security Overview", (Sept. 2002),1-10	
		IBM CORPORATION, "IBM ThinkPad T30 Notebooks", <u>IBM Product Specification, located at www-1.ibm.com/services/files/cisco_t30_spec_sheet_070202.pdf</u> , last visited June 23, 2004,(July 2, 2002),1-6	
		INTEL CORPORATION, "IA-64 System Abstraction Layer Specification", <u>Intel Product Specification, Order Number 245359-001, (01/2000)</u> ,1-112	
		INTEL CORPORATION, "Intel 82802AB/82802AC Firmware Hub (FWH)", <u>Intel Product Datasheet, Document Number 290658-004,(November 2000)</u> ,1-6, 17-28	
		INTEL CORPORATION, "Intel IA-64 Architecture Software Developer's	

EXAMINER

DATE CONSIDERED



Substitute for form 1449A/PTO  
**INFORMATION DISCLOSURE STATEMENT BY APPLICANT**  
(Use as many sheets as necessary)

Complete if Known

<b>Application Number</b>	10/043,843
<b>Filing Date</b>	November 1, 2001
<b>First Named Inventor</b>	Kozuch, Michael
<b>Group Art Unit</b>	2132
<b>Examiner Name</b>	Barron, Gilberto

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Sheet 2 of 2

Attorney Docket No: 42P11931

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**OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Manual", Volume 2: IA-64 System Architecture, Order Number 245318-001, (01/2000), i, ii, 5.1-5.3, 11.1-11.8, 11.23-11.26	
		MENEZES, ALFRED J., et al., "Handbook of Applied Cryptography", CRC Press Series on Discrete Mathematics and its Applications, Boca Raton, FL, XP002165287, ISBN 0849385237, (Oct. 1996), 403-405, 506-515, 570	
		NANBA, S., et al., "VM/4: ACOS-4 Virtual Machine Architecture", VM/4: ACOS-4 Virtual Machine Architecture, IEEE, (1985), 171-178	
		RSA SECURITY, "Hardware Authenticators", <a href="http://www.rsasecurity.com/node.asp?id=1158">www.rsasecurity.com/node.asp?id=1158</a> , 1-2	
		RSA SECURITY, "RSA SecurID Authenticators", <a href="http://www.rsasecurity.com/products/securid/datasheets/SID_DS_0103.pdf">www.rsasecurity.com/products/securid/datasheets/SID_DS_0103.pdf</a> , 1-2	
		RSA SECURITY, "Software Authenticators", <a href="http://www.rsasecurity.com/node.asp?id=1313">www.rsasecurity.com/node.asp?id=1313</a> , 1-2	
		SCHNEIER, BRUCE, "Applied Cryptography: Protocols, Algorithm, and Source Code in C", Wiley, John & Sons, Inc., XP002939871; ISBN 0471117099, (Oct. 1995), 47-52	
		SCHNEIER, BRUCE, "Applied Cryptography: Protocols, Algorithm, and Source Code in C", Wiley, John & Sons, Inc., XP002138607; ISBN 0471117099, (Oct. 1995), 56-65	
		SCHNEIER, BRUCE, "Applied Cryptography: Protocols, Algorithms, and Source Code in C", Wiley, John & Sons, Inc., XP0021111449; ISBN 0471117099, (Oct. 1995), 169-187	
		SCHNEIER, BRUCE, "Applied Cryptography: Protocols, Algorithms, and Source Code in C", 2nd Edition; Wiley, John & Sons, Inc., XP002251738; ISBN 0471128457, (Nov. 1995), 28-33; 176-177; 216-217; 461-473; 518-522	

**EXAMINER**

**DATE CONSIDERED**



## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

		Application No.	10/043,843
		Filing Date	November 1, 2004
		First Named Inventor	Michael A. Kozuch
		Art Unit	2132 JUL 19 2004
		Examiner Name	Gilberto Barron
Total Number of Pages in This Submission	7	Attorney Docket Number	42390P11931

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### ENCLOSURES (check all that apply)

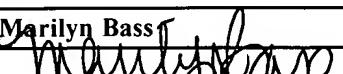
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Request for Refund	<input type="checkbox"/> Return Receipt Postcard
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> CD, Number of CD(s)	
<input checked="" type="checkbox"/> PTO/SB/08		
<input type="checkbox"/> Certified Copy of Priority Document(s)		
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application		
<input type="checkbox"/> Basic Filing Fee		
<input type="checkbox"/> Declaration/POA		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		
Remarks		
9 Foreign Patent Docs and 18 Other Documents		

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Joseph Lutz, Reg. No. 43,765 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	July 16 2004

### CERTIFICATE OF MAILING/TRANSMISSION

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Typed or printed name	Marilyn Bass
Signature	
Date	07-16-04

Based on PTO/SB/21 (04-04) as modified by Blakely, Sokoloff, Taylor & Zafman (wir) 06/04/2004.  
SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450



JUL 19 2004

# Fee Transmittal for FY 2004

Effective 01/01/2004. Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27.

**TOTAL AMOUNT OF PAYMENT** **( \$ )**

Complete if Known

Application Number	10/043,843
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First Named Inventor	Michael A. Kozuch
Examiner Name	Gilberto Barron
Art Unit	2132
Attorney Docket No.	42390P11931

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JUL 19 2004

## METHOD OF PAYMENT (check all that apply)

Check  Credit card  Money Order  Other  None

Deposit Account

Deposit Account Number **02-2666**

Deposit Account Name **Blakely, Sokoloff, Taylor & Zafman LLP**

The Commissioner is authorized to: (check all that apply)

Charge fee(s) indicated below  Credit any overpayments  
 Charge any additional fee(s) or underpayment of fees as required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.  
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		FeePaid
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1001	770	2001	385	Utility filing fee
1002	340	2002	170	Design filing fee
1003	530	2003	265	Plant filing fee
1004	770	2004	385	Reissue filing fee
1005	160	2005	80	Provisional filing fee
<b>SUBTOTAL (1)</b>		<b>( \$ )</b>		

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	FeePaid
<input type="checkbox"/>	20	= <input type="checkbox"/>	X <input type="checkbox"/> = <input type="checkbox"/>
<input type="checkbox"/>	3	= <input type="checkbox"/>	X <input type="checkbox"/> = <input type="checkbox"/>
Independent Claims			
Multiple Dependent			

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	85	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple Dependent claim, if not paid
1204	85	2204	43	**Reissue independent claims over original patent
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent
<b>SUBTOTAL (2)</b>		<b>( \$ )</b>		

\*\*or number previously paid, if greater. For Reissues, see below

### 3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Description	FeePaid
Fee Code	Fee (\$)	Fee Code	Fee (\$)
1051	130	2051	65 Surcharge - late filing fee or oath
1052	50	2052	25 Surcharge - late provisional filing fee or cover sheet
2053	130	2053	130 Non-English specification
1812	2,520	1812	2,520 For filing a request for ex parte reexamination
1804	920 *	1804	920 * Requesting publication of SIR prior to Examiner action
1805	1,840 *	1805	1,840 * Requesting publication of SIR after Examiner action
1251	110	2251	55 Extension for reply within first month
1252	420	2252	210 Extension for reply within second month
1253	950	2253	475 Extension for reply within third month
1254	1,480	2254	740 Extension for reply within fourth month
1255	2,010	2255	1,005 Extension for reply within fifth month
1404	330	2401	165 Notice of Appeal
1402	330	2402	165 Filing a brief in support of an appeal
1403	290	2403	145 Request for oral hearing
1451	1,510	2451	1,510 Petition to institute a public use proceeding
1452	110	2452	55 Petition to revive - unavoidable
1453	1,330	2453	665 Petition to revive - unintentional
1501	1,330	2501	665 Utility issue fee (or reissue)
1502	480	2502	240 Design issue fee
1503	640	2503	320 Plant issue fee
1460	130	2460	130 Petitions to the Commissioner
1807	50	1807	50 Processing fee under 37 CFR 1.17(q)
1806	180	1806	180 Submission of Information Disclosure Stmt
8021	40	8021	40 Recording each patent assignment per property (times number of properties)
1809	770	1809	385 Filing a submission after final rejection (37 CFR § 1.129(a))
1810	770	2810	385 For each additional invention to be examined (37 CFR § 1.129(b))
1801	770	2801	385 Request for Continued Examination (RCE)
1802	900	1802	900 Request for expedited examination of a design application
Other fee (specify)			

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** **( \$ )**

Complete (if applicable)

Name (Print/Type)	Joseph Lutz	Registration No. (Attorney/Agent)	43,765	Telephone	(310) 207-3800	
Signature					Date	07-10-04